

DT02 Rec'd PCT/PTO 08 OCT 2004

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|--|---|---|--|
| FORM PTO 1390<br>(REV 10-2003)   |   | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY'S DOCKET NUMBER<br><b>62272 (49227)</b>                     |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371   |   |   | U.S. APPLICATION NO. (If known, see 37 CFR 1.55)<br><b>107510905</b> |
| INTERNATIONAL APPLICATION NO.<br>PCT/JP03/04469  | INTERNATIONAL FILING DATE<br>8 April 2003 | PRIORITY DATE CLAIMED<br>10 April 2002                  |  |
| TITLE OF INVENTION <b>POLYURETHANE RESIN-BASED MATERIAL FOR SLUSH MOLDING</b>  |   |   |  |
| APPLICANT(S) FOR DO/EO/US <b>Shinya Fujibayashi et al.</b>   |   |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |   |   |  |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An unexecuted oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> </ol> |   |   |  |
| Items 11 to 20 below concern document(s) or information included:  |   |   |  |
| <ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. (w/16 references)</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: <b>PCT/IB/304, PCT/IPEA/409, PCT/IB/308, International Publication WO 03/085023 A1, Return Receipt Postcard</b></li> </ol>  |   |   |  |

|   |                     |   |             |  |    |           |  |           |  |
|---|---------------------|---|-------------|--|----|-----------|--|-----------|--|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.55)<br><div style="font-size: 24pt; font-weight: bold; text-align: center;">107510905</div>  |                     | INTERNATIONAL APPLICATION NO.<br>PCT/JP03/04469 |             | ATTORNEY'S DOCKET NUMBER<br>62272 (49227)  |    |           |  |           |  |
| 21. <input checked="" type="checkbox"/> The following fees are submitted:<br><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) – (5)):</b><br><div style="margin-left: 20px;"> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....\$1100.00<br/> <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....\$950.00<br/> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....\$790.00<br/> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....\$750.00<br/> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....\$100.00         </div> <div style="text-align: center; margin-top: 10px;"> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b><br/>         Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).       </div> |                     |   |             | <b>CALCULATIONS PTO USE ONLY</b><br><br><table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; text-align: right;">\$ 950.00</td> <td style="width:50%;"></td> </tr> <tr> <td style="text-align: right;">\$ 130.00</td> <td></td> </tr> </table> |    | \$ 950.00 |  | \$ 130.00 |  |
| \$ 950.00   |                     |   |             |  |    |           |  |           |  |
| \$ 130.00   |                     |   |             |  |    |           |  |           |  |
| <b>CLAIMS</b>   | <b>NUMBER FILED</b> | <b>NUMBER EXTRA</b>                             | <b>RATE</b> |  |    |           |  |           |  |
| Total claims  | 34-20 =             | 14  | x 18.00     | \$ 252.00  |    |           |  |           |  |
| Independent claims  | 1-3 =               |   | x           | \$ 0.00  |    |           |  |           |  |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable)   |                     |   |             | +  | \$ |           |  |           |  |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |                     |   |             | \$ 1,332.00  |    |           |  |           |  |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |                     |   |             | \$   |    |           |  |           |  |
| <b>SUBTOTAL =</b>   |                     |   |             | \$ 1,332.00  |    |           |  |           |  |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).  |                     |   |             | \$   |    |           |  |           |  |
| <b>TOTAL NATIONAL FEE =</b>   |                     |   |             | \$ 1,332.00  |    |           |  |           |  |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property   |                     |   |             | +  | \$ |           |  |           |  |
| <b>TOTAL FEES ENCLOSED =</b>  |                     |   |             | \$ 1,332.00  |    |           |  |           |  |
|   |                     |   |             | <b>Amount to be refunded:</b>  | \$ |           |  |           |  |
|   |                     |   |             | <b>charged:</b>  | \$ |           |  |           |  |

a. ☒ A check in the amount of \$ 1,332.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1105. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

John B. Alexander, Ph. D.  
 EDWARDS & ANGELL, LLP  
 P.O. Box 55874  
 Boston, Massachusetts 02205  
 (617) 439-4444  
 CUSTOMER NUMBER: 21874

SIGNATURE:

NAME: John B. Alexander, Ph.D.

REGISTRATION NUMBER: 48,399

10/510905

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TRANSMITTAL LETTER TO THE  
UNITED STATES RECEIVING OFFICE

|                               |                  |
|-------------------------------|------------------|
| Date                          | 8 October 2004   |
| International Application No. | Not Yet Assigned |
| Attorney Docket No.           | 62272 (49227)    |

## I. Certificate under 37 CFR 1.10 (if applicable)

|                             |
|-----------------------------|
| <b>EV 437816504 US</b>      |
| Express Mail mailing number |

|                       |
|-----------------------|
| <b>8 October 2004</b> |
| Date of Deposit       |

I hereby certify that the application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to MS PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*Kathryn A. Grindrod*  
Signature of person mailing correspondence

**Kathryn A. Grindrod**  
Typed or printed name of person mailing correspondence

II. ☒ New International Application

|       |  |  |
|-------|--|--|
| TITLE | <b>POLYURETHANE RESIN-BASED MATERIAL FOR SLUSH MOLDING</b> | Earliest priority date<br>(Day/Month/Year) |
|       |  | <b>10 April 2002</b>                       |

**SCREENING DISCLOSURE INFORMATION:** In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (Note: check as many boxes as apply):

- A. ☒ The invention disclosed was **not** made in the United States.
- B. ☐ There is no prior U.S. application relating to this invention.
- C. ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority.)

|                 |  |          |  |
|-----------------|--|----------|--|
| application no. |  | filed on |  |
| application no. |  | filed on |  |
| application no. |  | filed on |  |
| application no. |  | filed on |  |
| application no. |  | filed on |  |

- D. ☐ The present international application ☐ contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C. above. The additional subject matter is found on pages  and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15.

III. ☐ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

- A. ☐ A Request for An Extension of Time to File a Response
- B. ☐ A Power of Attorney (General or Regular)
- C. ☐ Replacement Pages

|       |  |                            |       |  |                 |
|-------|--|----------------------------|-------|--|-----------------|
| pages |  | of the request PCT/RO/101) | pages |  | of the figures  |
| pages |  | of the description         | pages |  | of the abstract |
| pages |  | of the claims              |       |  |                 |

- D. ☐ Submission of Priority Documents

|                   |  |                   |  |
|-------------------|--|-------------------|--|
| Priority document |  | Priority document |  |
|-------------------|--|-------------------|--|

- E. ☐ Fees as specified on attached Fee Calculation sheet form PCT/RO/101 annex

IV. ☐ A Request for Rectification under PCT Rule 91 ☐ A Petition ☐ A Sequence Listing DisketteV. ☒ Other (please specify): Transmittal letter and attachments thereto (Form PTO-1390)

|                                      |  |                                 |
|--------------------------------------|--|---------------------------------|
| The person signing this form is the: | <input type="checkbox"/> Applicant                                 | <b>John B. Alexander, Ph.D.</b> |
|                                      | <input checked="" type="checkbox"/> Attorney/Agent Reg. No. 48,399 | <i>John B. Alexander</i>        |
|                                      | <input type="checkbox"/> Common Representative                     | Signature                       |

10/510905

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Application No. (if known): Not Yet Assigned

Attorney Docket No.: 62272 (49227)

## Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV 437816504 US in an envelope addressed to:

MS PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on 8 October 2004  
Date

Kathryn A. Grindrod  
Signature

Kathryn A. Grindrod  
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Transmittal Letter to the United States Designated-Elected Office